

CITSS

Compliance Instrument
Tracking System Service

Cap and Trade Auction Participant - Identification of Third Party Advisor

Section 95914 of the Cap and Trade Regulation (Regulation) requires that any entity participating in an auction that has retained the services of an advisor regarding auction bidding strategy must ensure the following:

- The entity must ensure against the advisor transferring information to other auction participants or coordinating the bidding strategy among participants;
- The entity will inform the advisor of the prohibition of sharing information to other auction participants and ensure the advisor has read and acknowledged the prohibition under penalty of perjury; and
- Any entity that has retained the services of an advisor must inform the Air Resources Board (ARB) of the advisor's retention.

To inform ARB of the retention of an advisor, the PAR or AAR of the entity must submit the information on this form to ARB at the address on the back of this form no later than 10 business days prior to the next quarterly auction or reserve sale at which the bid advisor's services will be employed. This form can be used by entities to notify ARB if a new advisor is hired or if an advisor is terminated and no new advisor is hired.

Section 1.0 Entity Account Information

CITSS Entity ID #:

Entity Legal Name:

Entity Operating Name:

Section 2.0 Advisor Information

Business Legal Name:

Names of Staff Providing Advice to Client Entity:

Address:

Phone:

Email address:

Advisor retained from (date) to (date):

Other Cap and Trade Program Participants Represented by Bid Advisor (CITSS Entity Legal Name):

Attestation by the active PAR or an active AAR

This attestation is required per §95832(d).

1. By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the

information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete. I consent to the jurisdiction of California and its courts for purposes of enforcement of the laws, rules and regulations pertaining to title 17, article 5, sections 95800 et seq., and I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information.

2. I certify under penalty of perjury under the laws of the State of California that I was selected as the primary account representative or the alternate account representative, as applicable, by an agreement that is binding on all persons who have an ownership interest with respect to compliance instruments held in the account. I certify that I have all the necessary authority to carry out the duties and responsibilities contained in title 17, article 5, sections 95800 et seq. on behalf of such persons and that each such person shall be fully bound by my representations, actions, inactions, or submissions and by any order or decision issued to me by the accounts administrator or a court regarding the account.

Print Name:

User Reference Code:

Employer Name:

Title:

Signature:

Date:

Per Section 95830 of the Cap-and-Trade Regulation, CITSS account information must be updated to reflect changes within 10 working days of the change. If there are changes to the information provided in this form prior to the referenced auction, the entity is required to submit an updated form within 10 days of the change and no later than the due date for the next auction.

Submit this form to:

California ARB
Attn: Climate Change Program Evaluation Branch
1001 I Street, 6th Floor
Sacramento, CA 95814